

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
**RD28056-5**

In Re Application Of: **Brown et al.**

Serial No.  
to be assigned

Filing Date  
herewith

Examiner  
to be assigned

Group Art Unit  
to be assigned

Title: **TRIAZINE COMPOUNDS, POLYMERS COMPRISING TRIAZINE STRUCTURAL UNITS, AND METHOD**

Address to:  
**Assistant Commissioner for Patents**  
**Washington, D.C. 20231**

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

**OR**

☐ the fee set forth in 37 CFR 1.17(p).

3. ☒ A list of documents on form PTO-1449 previously submitted. Each of the identified documents was cited by or submitted to the USPTO in the pending prior application Serial No. 09/941,050 filed on 08/28/2001 entitled TRIAZINE COMPOUNDS, POLYMERS COMPRISING TRIAZINE STRUCTURAL UNITS, AND METHOD by the following inventor(s): Sterling Bruce Brown, Hans Peter Brack, James Anthony Cella and Dennis Karlik, which is relied upon for in a earlier filing date under 35 U.S.C. 120. Please consider these documents in the prosecution of this case.

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
RD28056-5

In Re Application: **Brown et al.**

Serial No.  
to be assigned

Filing Date  
herewith

Examiner  
to be assigned

Group Art Unit  
to be assigned

**TRIAZINE COMPOUNDS, POLYMERS COMPRISING TRIAZINE STRUCTURAL UNITS, AND**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. **07-0862** as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
- ☐ Credit any overpayment.
- ☒ Charge any additional fee required.

**Certificate of Transmission by Facsimile\***

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. \_\_\_\_\_)

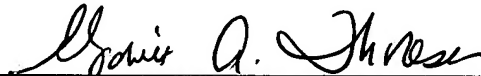
\_\_\_\_\_  
(Date)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Typed or Printed Name of Person Signing Certificate

**Certificate of Mailing by First Class Mail**

I certify that this document and fee is being deposited **September 26, 2003** with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.



\_\_\_\_\_  
Signature of Person Mailing Correspondence

Elizabeth A. Thoresen

\_\_\_\_\_  
Typed or Printed Name of Person Mailing Certificate

\*This certificate may only be used if paying by deposit account.

  
\_\_\_\_\_  
Signature

Dated: September 26, 2003

Frank A. Smith - Registration No. 39,375  
General Electric Company  
One Plastics Ave.  
Pittsfield, MA 01201  
phone: (413) 448-7604  
Customer No. 25743

CC:

<b>PTO-1449</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <b><u>LIST OF ITEMS</u></b>  (Use several sheets if necessary)										<b>Attorney's Docket Number</b> RD28056-5				<b>Serial Number</b> To be assigned			
										<b>Name of Applicant</b> Brown et al.							
										<b>Filing Date</b> herewith				<b>Group</b> To be assigned			
<b>U.S. PATENT DOCUMENTS</b>																	
* Examiner Initials	Document Number								Date	Name	Class	Subclass	Filing Date if Appropriate				
	AA	4	9	2	7	8	9	4	05/22/90	Brown							
	AB	5	0	3	4	5	2	7	07/23/91	Brown et al.							
	AC	5	1	1	5	0	4	3	05/19/92	Yates, III et al.							
	AD	5	1	3	2	3	7	3	07/21/92	Khoury et al.							
	AE	5	2	1	0	1	9	1	05/11/93	Phanstiel et al.							
	AF	5	2	6	4	4	9	6	11/23/93	Brown et al.							
	AG	5	3	2	4	7	9	6	06/28/94	Han							
	AH	3	9	5	7	7	2	8	05/18/76	Neuray et al.							
	AI	3	9	7	8	1	5	9	08/31/76	Neuray et al.							
	AJ	4	0	9	2	2	4	3	05/30/78	Neuray et al.							
<b>FOREIGN PATENT DOCUMENTS</b>																	
	Document Number								Date	COUNTRY	Class	Subclass	TRANSLATION YES NO				
	AK	EP0703261B1 (abstract)							03/27/96	European							
	AL	EP0794209A2							09/10/97	European							
	AM	EP0980861A1							02/23/00	European							
	AN																
	AO																
	AP																
<b>OTHER INFORMATION (Including Author, Title, Date, Pertinent)</b>																	
	AQ	White and Loucks in ACS Symposium Series, volume 282 (Reactive Oligomers), pp. 187-197 (1985)															
	AR	Kirk-Othmer Encyclopedia of Chemical Technology, Fourth Edition, Volume 19, pp. 584-600															
	AS	Relationship between the end-cap structure of polycarbonates and their impact resistance, Mayasa Okamoto, Polymer Research Laboratory, Idemitsu Petrochemical Co., Ltd., Received 9 January 2001; accepted 18 April 2001															
<b>EXAMINER</b>										<b>DATE CONSIDERED</b>							
* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.																	

<b>PTO-1449</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <b><u>LIST OF ITEMS</u></b>  (Use several sheets if necessary)										Attorney's Docket Number RD28056-5					Serial Number To be assigned							
										Name of Applicant Brown et al.												
										Filing Date herewith					Group To be assigned							
<b>U.S. PATENT DOCUMENTS</b>																						
* Examiner Initials		Document Number							Date		Name					Class		Subclass		Filing Date if Appropriate		
		AA	5	6	9	6	2	2	2	12/09/97		Kaneko et al.										
		AB	5	3	5	2	7	4	5	10/04/94		Katayose et al.										
		AC	3	3	0	6	8	7	4	02/28/67		Hay										
		AD	3	3	0	6	8	7	5	02/28/67		Hay										
		AE	3	9	1	4	2	6	6	10/21/75		Hay										
		AF	4	0	2	8	3	4	1	06/07/77		Hay										
		AG	4	0	5	4	5	5	3	10/18/77		Olander										
		AH	4	0	9	2	2	9	4	05/30/78		Bennett, J. et al.										
		AI	4	4	7	7	6	5	1	10/16/84		White et al.										
<b>FOREIGN PATENT DOCUMENTS</b>																						
		Document Number							Date		COUNTRY					Class		Subclass		TRANSLATION YES NO		
		AK																				
		AL																				
		AM																				
		AN																				
		AO																				
		AP																				
<b>OTHER INFORMATION (Including Author, Title, Date, Pertinent)</b>																						
		AQ																				
		AR																				
		AS																				
EXAMINER												DATE CONSIDERED										
* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.																						

<b>PTO-1449</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <b>LIST OF ITEMS</b>  (Use several sheets if necessary)										Attorney's Docket Number <b>RD28056-5</b>		Serial Number To be assigned	
										Name of Applicant <b>Brown et al.</b>			
										Filing Date herewith		Group To be assigned	

U.S. PATENT DOCUMENTS													
* Examiner Initials	Document Number								Date	Name	Class	Subclass	Filing Date if Appropriate
	AA	4	5	1	7	3	4	1	05/14/85	White			
	AB	4	2	1	7	4	3	8	08/12/80	Brunelle et al.			
	AC	5	8	8	0	2	4	8	03/09/99	Sakashita et al.			
	AD	5	2	2	9	5	1	3	07/20/93	Brown et al.			
	AE	4	8	9	5	9	4	5	01/23/90	Brown et al.			
	AF	5	0	0	1	2	0	1	03/19/91	Brown			
	AG	5	3	5	7	0	2	7	10/18/94	Komatsu			
	AH	6	1	4	0	4	5	7	10/31/00	LeGrand et al.			
	AI	6	1	4	0	4	5	7	10/31/00	LeGrand et al.			
	AJ	5	2	4	2	9	7	3	09/07/93	Komatsu			

FOREIGN PATENT DOCUMENTS										
	Document Number				Date	COUNTRY	Class	Subclass	TRANSLATION YES NO	
	AK									
	AL									
	AM									
	AN									
	AO									
	AP									

OTHER INFORMATION (Including Author, Title, Date, Pertinent)	
	AQ
	AR
	AS

EXAMINER	DATE CONSIDERED
----------	-----------------

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

<b>PTO-1449</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <b><u>LIST OF ITEMS</u></b>  (Use several sheets if necessary)										Attorney's Docket Number RD28056-5		Serial Number To be assigned	
										Name of Applicant Brown et al.			
										Filing Date herewith		Group To be assigned	
<b>U.S. PATENT DOCUMENTS</b>													
* Examiner Initials	Document Number								Date	Name	Class	Subclass	Filing Date if Appropriate
	AA	5	2	7	1	9	6	8	12/21/93	Coyle et al.			
	AB	4	9	9	7	8	8	5	03/05/91	Brown			
	AC	5	0	9	6	9	7	9	03/17/92	Brown et al.			
	AD	5	1	9	4	5	1	7	03/16/93	Blubaugh et al.			
	AE	5	0	4	1	5	0	4	08/20/91	Brown et al.			
	AF	5	1	0	0	9	6	1	03/31/92	Brown et al.			
	AG	5	0	6	8	2	8	6	11/26/91	Campbell et al.			
	AH	5	0	8	9	5	6	6	02/18/92	Brown et al.			
	AI	5	1	5	3	2	6	7	10/06/92	Brown et al.			
	AJ	5	5	3	9	0	6	2	07/23/96	Brown et al.			
<b>FOREIGN PATENT DOCUMENTS</b>													
	Document Number								Date	COUNTRY	Class	Subclass	TRANSLATION YES NO
	AK												
	AL												
	AM												
	AN												
	AO												
	AP												
<b>OTHER INFORMATION (Including Author, Title, Date, Pertinent)</b>													
	AQ												
	AR												
	AS												
<b>EXAMINER</b>										<b>DATE CONSIDERED</b>			
* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.													

<b>PTO-1449</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <b><u>LIST OF ITEMS</u></b>  (Use several sheets if necessary)										Attorney's Docket Number RD28056-5		Serial Number To be assigned	
										Name of Applicant Brown et al.			
										Filing Date herewith			
<b>U.S. PATENT DOCUMENTS</b>													
* Examiner Initials	Document Number								Date	Name	Class	Subclass	Filing Date if Appropriate
	AA	5	1	2	2	5	7	8	06/16/92	Han et al.			
	AB	5	3	8	5	9	8	4	01/31/95	Blohm et al.			
	AC	5	0	3	0	6	9	3	07/09/91	Brown et al.			
	AD	5	0	6	2	8	8	2	11/05/91	Newton			
	AE												
	AF												
	AG												
	AH												
	AI												
	AJ												
<b>FOREIGN PATENT DOCUMENTS</b>													
	Document Number								Date	COUNTRY	Class	Subclass	TRANSLATION YES      NO
	AK												
	AL												
	AM												
	AN												
	AO												
	AP												
<b>OTHER INFORMATION</b> (Including Author, Title, Date, Pertinent)													
	AQ												
	AR												
	AS												
<b>EXAMINER</b>										<b>DATE CONSIDERED</b>			
* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.													